

FORM PTO-1390 (Modified) U.S. PATENT AND TRADEMARK OFFICE; U.S. DEPARTMENT OF COMMERCE  
(REV. 2-2005)

ATTORNEY'S DOCKET NUMBER

13369701-0001

TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A SUBMISSION UNDER 35 U.S.C. 371

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

10/540908

INTERNATIONAL APPLICATION NO.  
PCT/CN2003/000095INTERNATIONAL FILING DATE  
01/28/2003PRIORITY DATE CLAIMED  
12/27/2002

TITLE OF INVENTION

TRIPTOLIDE DERIVATIVES AND THEIR USES

APPLICANT(S) FOR DO/EO/US

Yuanchao LI, Jianping ZUO, Fan ZHANG, Ru ZHOU and Jian DING

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a submission under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a submission under 35 U.S.C. 371.
3. ☐ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (24) indicated below.
4. ☒ The US has been elected (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371 (c)(2))
  - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
  - b. ☒ has been communicated by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
  - a. ☒ is attached hereto.
  - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
  - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ have been communicated by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☒ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
10. ☐ An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).
11. ☐ A copy of the International Preliminary Examination Report (PCT/IPEA/409).
12. ☒ A copy of the International Search Report (PCT/ISA/210).

Items 13 to 23 below concern document(s) or information included:

13. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
14. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
15. ☒ A **FIRST** preliminary amendment.
16. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
17. ☐ A substitute specification.
18. ☒ A power of attorney and/or change of address letter.
19. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821 - 1.825.
20. ☐ A second copy of the published International Application under 35 U.S.C. 154(d)(4).
21. ☐ A second copy of the English language translation of the International Application under 35 U.S.C. 154(d)(4).
22. ☒ Express Mail Label No. EV 468352315 US
23. ☒ Other items or information:

PCT Publication PCT WO2004/058770A1

PCT Information Concerning Elected Offices Notified of Their Election

Note: International Search Report in English and Chinese

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

|  |              |  |            |                          |          |
|--|--------------|--|------------|--------------------------|----------|
| U.S. APPLICATION NO. (If known, see 37 CFR 1.5)  |              | INTERNATIONAL APPLICATION NO.  |            | ATTORNEY'S DOCKET NUMBER |          |
| 10/540908  |              | PCT/CN2003/000095  |            | 13369701-0001            |          |
| The following fees are submitted:  |              |  |            | CALCULATIONS             | PTO USE  |
| 24. <input checked="" type="checkbox"/> Basic national fee   |              | \$300  | \$         | \$300.00                 |          |
| 25. <input checked="" type="checkbox"/> Examination fee  |              |  |            |                          |          |
| If International preliminary examination report prepared by USPTO and all claims satisfy provisions of PCT Article 33(1)-(4).  |              | \$100  | \$         | \$200.00                 |          |
| All other situations.  |              | \$200  |            |                          |          |
| 26. <input checked="" type="checkbox"/> Search fee   |              |  |            |                          |          |
| Search fee (37 CFR 1.445(a)(2)) has been paid on the international application to the USPTO as an International Searching Authority  |              | \$100  |            |                          |          |
| International Search Report prepared and provided to the Office  |              | \$400  | \$         | \$400.00                 |          |
| All other situations.  |              | \$500  |            |                          |          |
| TOTAL OF 24, 25 and 26 =   |              |  | \$         | \$900.00                 |          |
| <input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing or computer program listing filed in an electronic medium). The fee is \$250 for each additional 50 sheets of paper or fraction thereof. |              |  |            |                          |          |
| Total Sheets   | Extra Sheets | Number of each additional 50 or fraction thereof (round up to a whole) | RATE       |                          |          |
| - 100 =  | 0 /50 =      | 0  | x \$250.00 | \$                       | \$0.00   |
| Surcharge of \$130.00 for furnishing the oath or declaration later than months from the earliest claimed priority date (37 CFR 1.492(e)).  |              |  |            | \$                       |          |
| CLAIMS   | NUMBER FILED | NUMBER EXTRA   | RATE       |                          |          |
| Total claims   | 10 - 20 =    | 0  | x \$50.00  | \$                       | \$0.00   |
| Independent claims   | 1 - 3 =      | 0  | x \$200.00 | \$                       | \$0.00   |
| MULTIPLE DEPENDENT CLAIMS (if applicable) <input type="checkbox"/>   |              |  | + \$360.00 | \$                       | \$0.00   |
| TOTAL OF ABOVE CALCULATIONS =  |              |  |            | \$                       | \$900.00 |
| <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.   |              |  |            | \$                       | \$0.00   |
| SUBTOTAL =   |              |  |            | \$                       | \$900.00 |
| Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(f)).  |              |  |            | \$                       | \$0.00   |
| TOTAL NATIONAL FEE =   |              |  |            | \$                       | \$900.00 |
| Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40 per property +  |              |  |            | \$                       | \$40.00  |
| TOTAL FEES ENCLOSED =  |              |  |            | \$                       | \$940.00 |
|  |              |  |            | Amount to be             | \$       |
|  |              |  |            | Amount to be             | \$       |
| a. <input type="checkbox"/> A check in the amount of \$ _____ to cover the above fees is enclosed.   |              |  |            |                          |          |
| b. <input checked="" type="checkbox"/> Please charge my Deposit Account No. <u>12-2136</u> in the amount of <u>\$940.00</u> to cover the above fees. A duplicate copy of this sheet is enclosed.   |              |  |            |                          |          |
| c. <input checked="" type="checkbox"/> The Director is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>12-2136</u> . A duplicate copy of this sheet is enclosed.                                |              |  |            |                          |          |
| d. <input type="checkbox"/> Fees are to be charged to a credit card. <b>WARNING:</b> Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.               |              |  |            |                          |          |
| <b>NOTE:</b> Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status.  |              |  |            |                          |          |
| SEND ALL CORRESPONDENCE TO:  |              |  |            |                          |          |
| Michael S. Gzybowski   |              |  |            |                          |          |
| BUTZEL LONG  |              |  |            |                          |          |
| 350 South Main Street  |              |  |            |                          |          |
| Suite 300  |              |  |            |                          |          |
| Ann Arbor, MI 48104  |              |  |            |                          |          |
|  |              |  |            | SIGNATURE                |          |
|  |              |  |            | Michael S. Gzybowski     |          |
|  |              |  |            | NAME                     |          |
|  |              |  |            | 32,816                   |          |
|  |              |  |            | REGISTRATION NUMBER      |          |

Doc Code:

JC20 Rec'd PCT/PTO 27 JUN 2005

PTO/SB/17 (12-04v2)

Approved for use through 07/31/2008. OMB 0651-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no person is required to respond to a collection of information unless it displays a valid OMB control number.

Effective on 12/08/2004.

Fees pursuant to the Consolidated Appropriations Act, 2005 (H.R. 4818).

**FEE TRANSMITTAL  
for FY 2005**☐ Applicant claims small entity status. See 37 CFR 1.27**TOTAL AMOUNT OF PAYMENT (\$)** **\$940.00**

Complete if Known

|                      |                    |
|----------------------|--------------------|
| Application Number   | Unknown            |
| Filing Date          | June 27, 2005      |
| First Named Inventor | Yuanchao LI, et al |
| Examiner Name        | Unknown            |
| Art Unit             | Unknown            |
| Attorney Docket No.  | 13369701-0001      |

**METHOD OF PAYMENT** (check all that apply)
☐ Check ☐ Credit Card ☐ Money Order ☐ None ☐ Other (please identify): \_\_\_\_\_

☒ Deposit Deposit Account Number: 12-2136 Deposit Account Name: BUTZEL LONG

For the above-identified deposit account, the Director is hereby authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☐ Charge fee(s) indicated below, except for the filing fee

☒ Charge any additional fee(s) or any underpayment of fee(s) under 37 CFR 1.16 and 1.17 ☒ Credit any overpayments
**WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**FEE CALCULATION****1. BASIC FILING, SEARCH, AND EXAMINATION FEES**

| Application Type | FILING FEES |                       | SEARCH FEES |                       | EXAMINATION FEES |                       | Fees Paid(\$) |
|------------------|-------------|-----------------------|-------------|-----------------------|------------------|-----------------------|---------------|
|                  | Fee (\$)    | Small Entity Fee (\$) | Fee (\$)    | Small Entity Fee (\$) | Fee (\$)         | Small Entity Fee (\$) |               |
| Utility          | 300         | 150                   | 500         | 250                   | 200              | 100                   |               |
| Design           | 200         | 100                   | 100         | 50                    | 130              | 65                    |               |
| Plant            | 200         | 100                   | 300         | 150                   | 160              | 80                    |               |
| Reissue          | 300         | 150                   | 500         | 250                   | 600              | 300                   |               |
| Provisional      | 200         | 100                   | 0           | 0                     | 0                | 0                     |               |

**2. EXCESS CLAIM FEES**

| Fee Description                                    | Fee (\$) | Small Entity Fee (\$) |
|--|----------|-----------------------|
| Each claim over 20 (including Reissues)            | 50       | 25                    |
| Each independent claim over 3 (including Reissues) | 200      | 100                   |
| Multiple dependent claims                          | 360      | 180                   |

| Total Claims             | Extra Claims | Fee (\$) | Fee Paid (\$) |
|--------------------------|--------------|----------|---------------|
| _____ - 20 or HP = _____ | x            | \$50.00  | = \$0.00      |

HP = highest number of total claims paid for, if greater than 20.

| Indep. Claims           | Extra Claims | Fee (\$) | Fee Paid (\$) |
|-------------------------|--------------|----------|---------------|
| _____ - 3 or HP = _____ | x            | \$200.00 | = \$0.00      |

HP = highest number of independent claims paid for, if greater than 3.

**3. APPLICATION SIZE FEE**

If the specification and drawings exceed 100 sheets of paper (excluding electronically filed sequence or computer listing under 37 CFR 1.52(e)), the application size fee due is \$250 (\$125 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s).

| Total Sheets        | Extra Sheets | Number of each additional 50 or fraction thereof | Fee (\$)   | Fee Paid (\$) |
|---------------------|--------------|--|------------|---------------|
| _____ - 100 = _____ | / 50         | _____ (round up to a whole)                      | x \$250.00 | = \$0.00      |

**4. OTHER FEE(S)**

Non-English specification, \$130 fee (no small entity discount)

Other (e.g., late filing surcharge): **BASIC NATIONAL FILING FEE AND RECORDATION FEE****\$940.00****SUBMITTED BY**

|                   |   |                                      |        |               |              |
|-------------------|---|--------------------------------------|--------|---------------|--------------|
| Signature         |  | Registration No.<br>(Attorney/Agent) | 32,816 | Telephone     | 734.995.3110 |
| Name (Print/Type) | Michael S. Gzybowski  |                                      | Date   | June 27, 2005 |              |

This collection of information is required by 37 CFR 1.136. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 30 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



10/540908

ATTORNEY'S DOCKET NO.: 133697001  
JC20 Rec'd PCT/PTO 27 JUN 2005

"EXPRESS MAIL" COVER LETTER  
U.S. PATENT APPLICATION

Date: June 27, 2005

Mail Stop PCT  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Re: APPLICANTS: Yuanchao LI, Jianping ZUO, Fan ZHANG, Ru ZHOU, and Jian DING

TITLE OF INVENTION: TRIPTOLIDE DERIVATIVES AND THEIR USES

Sir:

Forwarded herewith is the above-identified application, consisting of the following:

Express Mail Cover Letter  
Certificate of Mailing by "Express Mail"  
Transmittal Letter to the U.S. Designated/Elected Office Concerning a Filing  
Under 35 U.S.C. 371 - **In Duplicate**  
PCT Publication of International Application No. PCT/CN2003/000095 (Publication No. PCTWO2004/058770A1)  
Translation of International Application No. PCT/CN2003/000095 (Publication No. PCT/WO 2004/058770 A1)  
into English Including Specification (43 pages), Claims (2 pages) and Abstract (1 page)  
Eleven (11) Drawing Sheets  
Preliminary Amendment (20 pages)  
PCT/USA National Declaration and Power of Attorney (3 pages)  
PCT Information Concerning Elected Offices Notified of Their Election (5 pages)  
International Search Report (PCT/ISA/210) in English and Chinese (4 pages)  
Recordation Form Cover Sheet (PTO-1595) and Attachment (1 page)  
Assignment (1 page)  
Fee Transmittal (1 page)  
Return Post Card

Respectfully submitted,

Michael S. Gzybowski  
Reg. No. 32,816  
Attorney for Applicant

BUTZEL LONG  
350 South Main Street  
Suite 300  
Ann Arbor, MI 48104  
734-995-3110 (ph)

"EXPRESS MAIL" Mailing No. EV 468352315 US  
Date of Deposit: June 27, 2005  
I hereby certify that this paper is being deposited with  
The United States Postal Service "EXPRESS MAIL  
POST OFFICE TO ADDRESSEE" service under  
37 CFR 1.10 on the date indicated above and is addressed  
to the Mail Stop PCT, Commissioner for Patents,  
P.O. Box 1450, Alexandria, VA 22313-1450

  
Marilynn M. Peterson

**CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)**

Applicant(s): Yuanchao LI, Jianping ZHANG, Fan ZHANG, Ru ZHOU and Jian DING

Docket No.

13369701-0001

Application No.  
Unknown  
10/540908Filing Date  
June 27, 2005Examiner  
UnknownCustomer No.  
35684Group Art Unit  
UnknownInvention: **TRIPTOLIDE DERIVATIVES AND THEIR USES**

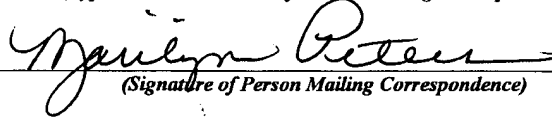
I hereby certify that the following correspondence:

Express Mail Cover Letter, Transmittal Letter to the U.S. Designated/Elected Office Concerning a Filing Under 35 U.S.C. 371 - In Duplicate, PCT Publication of International Application No. PCT/CN2003/000095 (Publication No. PCTWO2004/058770A1), Translation of International Application No. PCT/CN2003/000095 (Publication No. PCT/WO 2004/058770 A1) into English Including Specification (43 pages), Claims (2 pages) and Abstract (1 page), Eleven (11) Drawing Sheets, Preliminary Amendment (20 pages), PCT Information Concerning Elected Offices Notified of Their Election (5 pages), PCT/USA National Declaration and Power of Attorney (3 pages), International Search Report (PCT/ISA/210) in English and Chinese (4 pages), Recordation Form Cover Sheet (PTO-1595) and Attachment (1-page), Assignment (1-page), Fee Transmittal (1-page), and Return Post Card  
(Identify type of correspondence)

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on June 27, 2005  
(Date)

Marilynn M. Peterson

(Typed or Printed Name of Person Mailing Correspondence)



(Signature of Person Mailing Correspondence)

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